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ABSTRACT

This document is divided into three sections: a rationale and plan for faculty evaluation, professional data outline, and criterion for faculty evaluation. The first section develops a rationale for evaluation and indicates three levels of assessing performance: proficiency, competence and incompetence. The professional data outline indicates areas and methods of evaluation which determine the level of performance. These areas of evaluation include teaching, curriculum and instruction development, professional writings and speeches, research and development, and professional service. The third section indicates the criterion for faculty evaluation in each area according to the three performance levels. (MJM)

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DOCUMENT I:

(Draft)

Faculty Evaluation: A Rationale and A Plan

University of Houston

College of Education

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SP 005 904

Institutions have purposes. Those who serve within institutions do so in order that the institutional purposes may be achieved. Hopefully the individual, while subordinating himself to the purposes of the institution, simultaneously will achieve his own aspirations, meet his own needs, and self-actualize.

To maximize the possibility that both the needs of the institution and those of the individual will be met the goals of the institution and the expectations it holds for the individual should be explicitly and publicly stated. The purpose of this statement is to provide a general rationale for the existence of Colleges of Education, to explore their purposes and values, and to apply these to one particular college.

It should be understood that institutions, like individuals are unique. That which is expected by way of performance will vary from institution to institution according to particular circumstances and commitments. There is, in essence, both a professional commitment and an institutional variation within it. Further still there will be individual variations within the range of options available.

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Institutions, and their divisions, are social systems. All social systems have six common characteristics:

1. They are <u>purposive</u>
   - are created and exist for a reason.

2. They are boundaried
   - the boundaries indicate what is within the system and what is outside of it.
3. They are structured
   - some kind of system of positions and roles exists within it.
4. They are peopled
   - people are selected to fill the positions and perform the roles.
5. They are normative
   - there are expected behaviors and performances for each position, role and person.
6. They are sanctions-bearing
   - there is a system of rewards and punishments which serves to ensure that individuals and groups perform according to the norms and help the organization to achieve its purposes.

It should be apparent that any system of personnel evaluation within a system will be concerned with making explicit the norms, the procedures to be used in assessing performance, and the rewards system which accompanies the evaluation system.

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RATIONALE

Teaching is a profession. It is the function of the teaching profession to provide its clients--individual, family, community, society--with the highest possible level of professional service. Teacher Education is the training arm of the teaching profession. As such it is an integral part of the profession. It has a separate identify and unique functions within the profession, however. Specifically it is charged with the following:

1. Through research, development, and other forms of creative and scholarly activities to add to the validated knowledge base of the profession (make it more competent to make decisions; make it more fail-safe).
2. Prepare teachers who are competent in decision making and skilled in implementation with each of these being based in the science and technology of the profession.

The evaluation of the college and university based part of teacher educators must, of necessity, be based on the essential purposes for which the teacher training programs exist. Other functions, no matter how important, cannot be permitted to substitute for these critical ones; they may, however, supplement them.

The most notable area of contribution outside of the critical purposes is service to the profession and to schools. Service to the university which is over and beyond that expected of

each also may be significant.

Teacher education takes place in two major types of higher education institutions:

1. Colleges
2. Universities

The major dimension on which these types of institutions differ is emphasis on research and development. Though there is much obscurity in the application of the principle, in general universities are expected to make major contributions to valid knowledge. Colleges, on the other hand, usually are not given this charge to anything like the same degree; most often they are charged with diffusion and use of validated knowledge.

Since the expectations for the types of institutions vary, so will those for the faculty. Colleges will emphasize competence in preparing teachers according to the best established procedures. Universities will expect their faculties to have the dual emphasis of teacher preparation and research and development.

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Society has needs of great importance which must be satisfied. So critical are the needs that only the highest levels of knowledge and skills can meet them. The professions are created as the means by which these knowledges and skills may be developed and the highest possible level of services be delivered to the citizens.

Each profession is concerned with valid knowledge and with the skills needed in making use of the knowledge. It is useful to portray valid knowledge as a continuum which stretches from the search for knowledge at one end to the use of knowledge on the other.

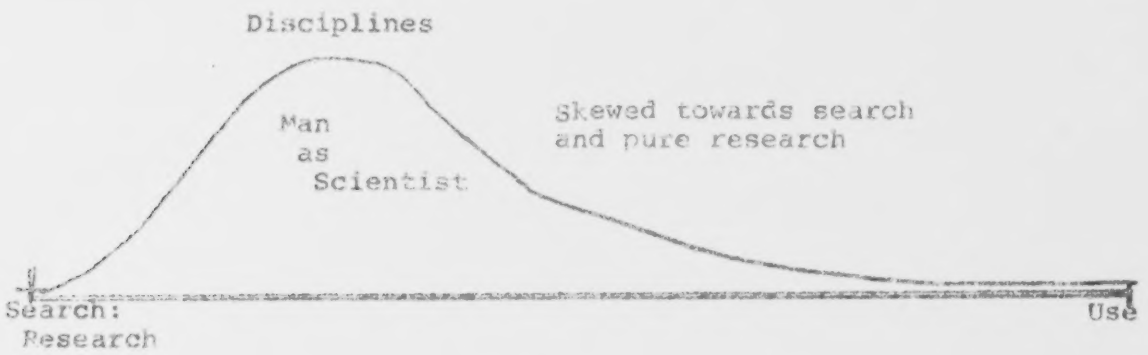
Valid Knowledge Continuum

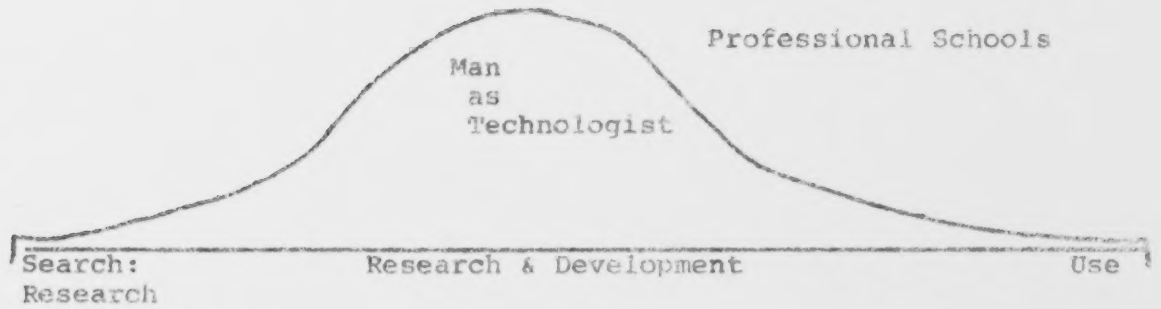
Each profession draws on a number of disciplines for basic knowledge upon which to develop professional practice. Medicine, for example, draws upon such sciences as anatomy, biology, chemistry, and psychology. These disciplines engage in the constant search for new knowledge. Their concern is with search and discovery. As Toynbee indicates, they are "scientists."

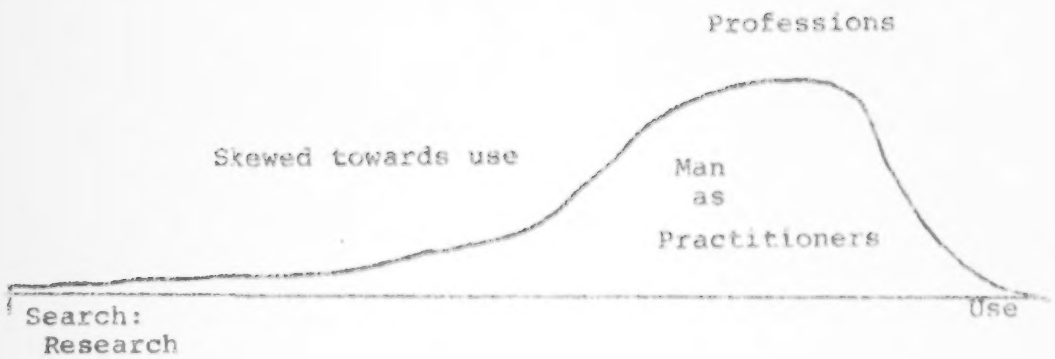
The professions are concerned with finding uses for knowledge. This function is delegated to specialized agencies; the professional school on the university campus shares heavily in this responsibility. Toynbee refers to them as "technologists". The primary concern of the professional schools is with research and development; thus their efforts are concentrated on the middle of the valid knowledge continuum.

The practitioners purvey the actual services of the profession to the client. They are concerned with the use end of the valid knowledge continuum.

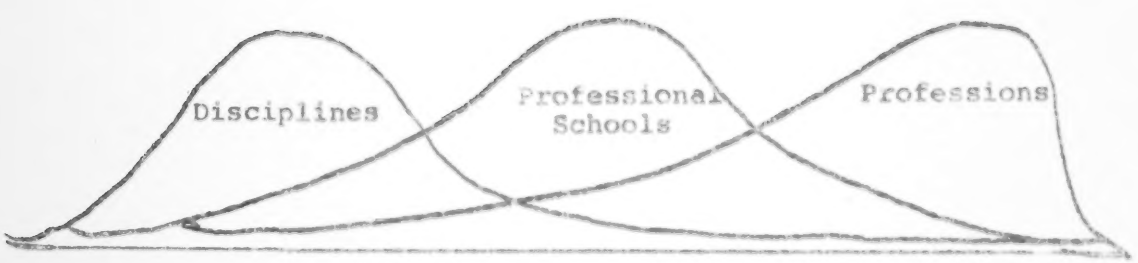
If the populations of each of these kinds of persons-- scientists of the disciplines, technologists of the professional schools, and practitioners of the professions-- are portrayed along the knowledge continuum, according to their interests and emphases, by a distribution curve the results might be some approximation of the following.



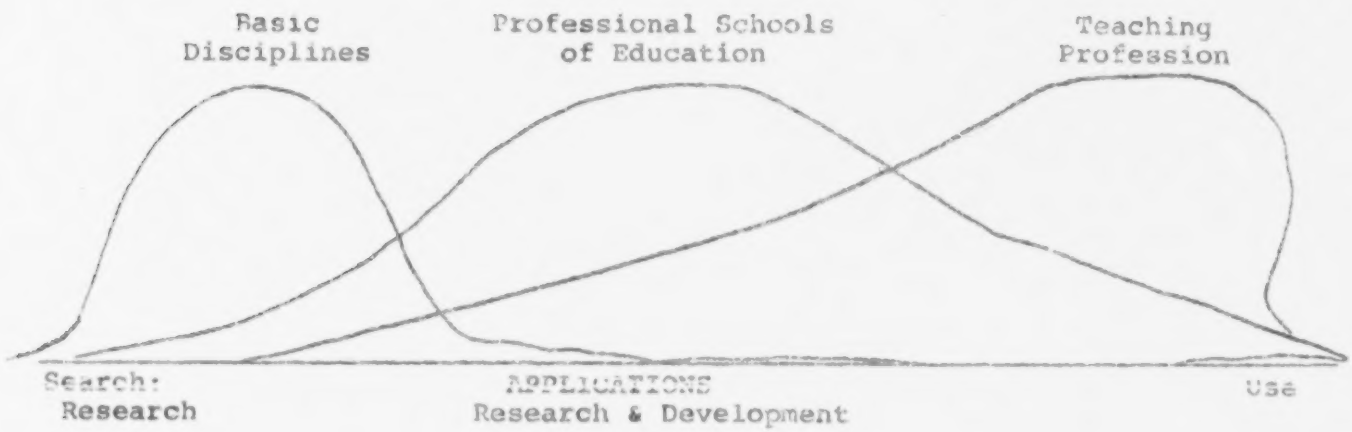




The three curves combined reveal distinct (conceptually) but overlapping emphases.



If teaching* (or Education) is taken as the profession under consideration it is possible to identify some of the activities and areas of concern for each of the three elements.

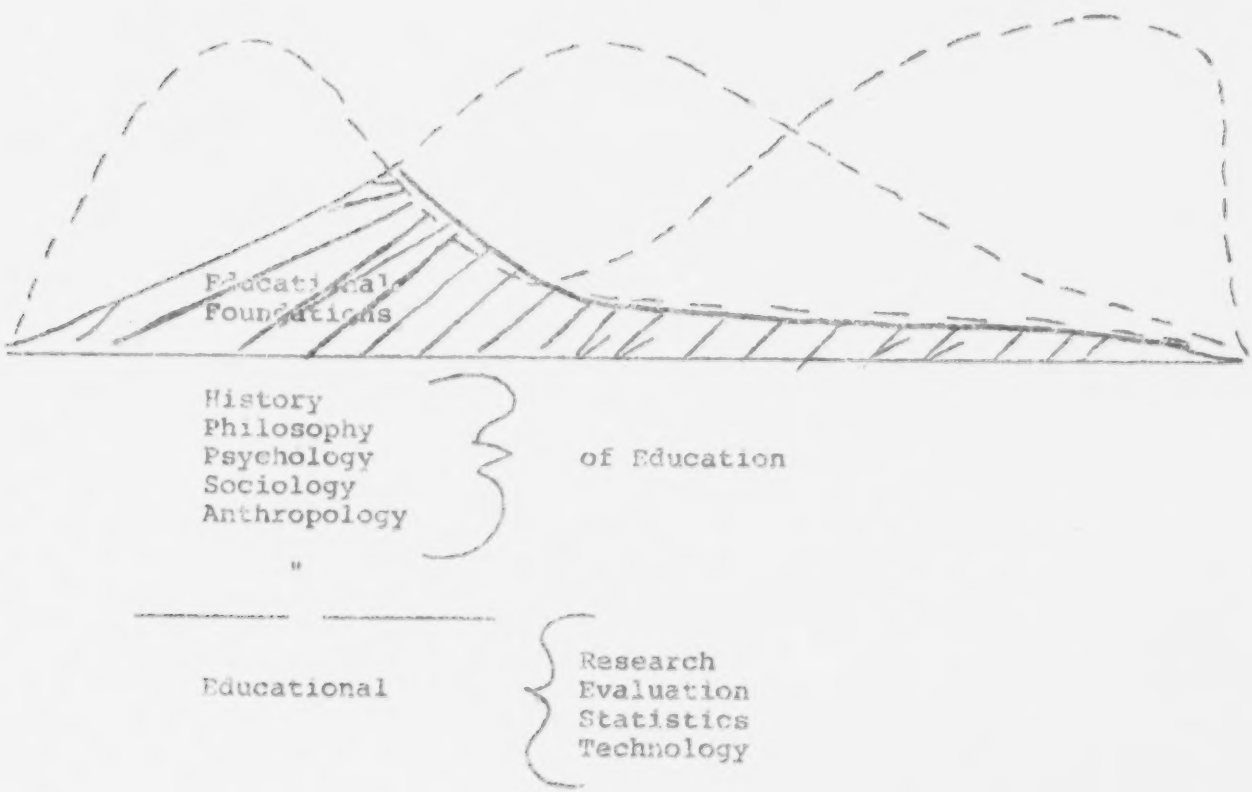


BASIC KNOWLEDGE	APPLIED KNOWLEDGE: EDUCATIONAL PRACTICE	SERVICE TO THE CLIENT
- learning		- teach; counsel; administer; supervise.
- development		
- society	Preparation of	- develop
- cultures	practitioners	- lead
- values		

Actual practice takes place in the profession; in the case of Education, primarily within the schools. Those who serve within a College of Education on a university campus will therefore

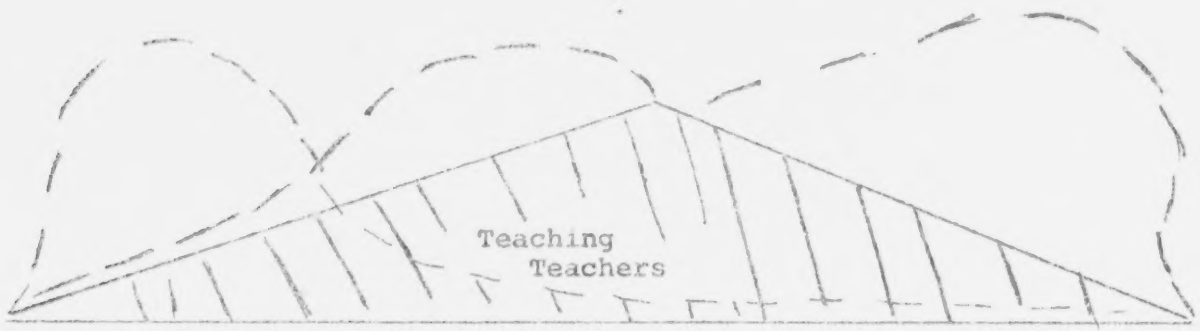
*Throughout this discussion the term "teacher" is used generically. It should be taken to include each of the several recognized special forms of service to education. Administrator, Counselor, Supervisor may be included or substituted according to the disposition of the reader.

be expected to perform within the ranges of the continuum with which the university is concerned. By isolating sections of the professional school curve attention can be focused on the respective emphases which will be significant and therefore most valued.



The Educational Foundations area is closely related to the basic disciplines since each is an application of the discipline

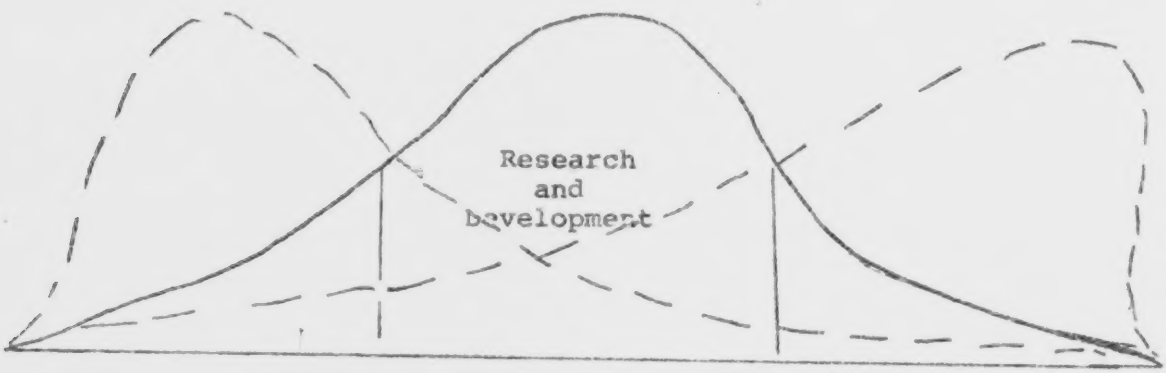
to the field of education. Normally this is done through the eyes of an educator but it is acceptable to enter these specializations through the disciplines. Customarily contributions to the foundations are judged by standards which approximate those of the disciplines; this need not be so, however. It is equally acceptable and perhaps more desirable for some institutions to encourage their foundations personnel to conform their emphases and activities towards those of the applied areas.



Testing new practices
Modeling best practices
Explicating best practices
Disseminating best practices

Some faculty members will choose to excel in the area of preparing teachers; this may include either pre-service teaching, in-service teaching, or both. The exercise of this option demands exemplary teaching performance from the person. He may be expected to cooperate with researchers and developers in

implementing and testing new materials and procedures. He will be a model of good practice and be skilled in helping students to understand the principles which make the practice desirable. Additionally he will be found disseminating good practice among his colleagues of the campus and schools. When found by itself, performance of this kind fits most readily into teaching rather than research institutions.



Developing & Testing
New Practices

- educational practice for use in schools
- teacher education

Developing new and more effective practices and materials in both teacher education and educational practice is the one function which is uniquely assigned to teacher education units on the university campus. Hence activities within this area are of high priority and are highly valued. Research and development should be seen as being relatively broad in scope. Activities may include any of a scholarly-professional nature

which have as their aim a resulting increase in the ability of the profession to provide its members with more valid bases for making decisions. Theoretical or conceptual formulation research projects, development projects, evaluation efforts are among those activities which fit this category.

RECOGNITION

A professional or scholar who elects to work within a teacher education institution assumes responsibilities for performing in such a way as to assist the institution to achieve its objectives and goals. Competence will be the minimal level which can be tolerated by the institution; those who reach only the "competence" level will expect to receive only the routine rewards.

At least some individuals and hopefully many, will reach beyond "competence" to proficiency.*

Individuals who achieve within the expected contributions of the institution to the "proficiency" level clearly will be the ones who qualify for the larger-order rewards.

"Proficiency" is a readily observable quality. It rarely -- if ever -- goes unrecognized. Accordingly recognition becomes a useful criterion for assessing performance. This is particularly true at the higher levels of appointment. It seems appropriate to expect that recognition would be a criterion for promotion to the rank of professor or for appointment to a named chair for example.

Since a number of optional areas of concentration are available to teacher education personnel it follows that recognition may be achieved in a number of areas. One may be recognized as a scholar by a community of scholars, by teachers in the field as one who advances the science and practice of teaching, by professional organizations at local, state or national levels; by university or college peers for service within the university community; or by students who appreciate the quality of teaching and modeling which they experience. In such an area a given individual may be perceived as not involved or not qualified, as "competent" or as "proficient". Recognition may be expected to go to those perceived as "proficient".

(DRAFT)

DOCUMENT II:

PROFESSIONAL DATA OUTLINE

COLLEGE OF EDUCATION

UNIVERSITY OF HOUSTON

TEACHING

A. Student evaluations.

B. Peer evaluations.

C. Participation in instructional team (description, including duration of participation, instructional outcomes, and role in the team.)

D. Research design for improvement of teaching.

E. List of Competencies and means of evaluation.

F. Description of instructional delivery system for listed competencies.

CURRICULUM/INSTRUCTION DEVELOPMENT

A. Participation in a Curriculum/Instruction development project (description of the project including: membership, duration, product, and role).

B. Curriculum/Instruction materials and indication of where they are being used and by whom.

C. Research findings on the effectiveness of Curriculum/Instruction materials.

PROFESSIONAL WRITINGS AND SPEECHES

A. Publications

1. Books (title, publisher, date of publication, pages)
2. Monographs (title, publisher, date of publication, pages)
3. Book and/or article reviews (journal title, date, page numbers)
4. Articles (article and journal title, date, page numbers)
5. Unpublished articles (article title, number of pages)
6. Papers presented at meetings (title of paper, name of meeting, date, number of pages of artcle)

B. Speeches at Professional Meetings (title of speech, name of meeting, date)

RESEARCH AND DEVELOPMENT

A. Funded Research Proposals (funding source, amount of funding, time span of project, title of proposal).

B. Publications Resulting from Research (title of publication, where published, date, number of pages).

C. Doctoral Dissertations (name of student, title of dissertation, date).

D. Presentations of Research Findings (meeting title, date, title of address).

E. Participation in Research Projects (name of project, dates of project, role in project, initiation souce of project).

PROFESSIONAL SERVICE

A. Departmental

1. Committees MED_____ EDD_____
2. Sponsorships
3. Projects
4. Advisees MED_____ EDD_____
5. Other

B. College of Education

1. Committees
2. Sponsorships
3. Projects (State, Federal, Local)
4. Other

C. University

1. Committees
2. Sponsorship
3. Projects
4. Other

D. Professional

1. Offices held
2. Committees
3. Consulting
4. Speeches/participation on professional programs
5. Other

E. Community

1. Projects
2. Committees
3. Speeches - Lectures
4. Conference director or leader
5. Consultant
6. Organizations (civic and other)

(DRAFT)

DOCUMENT III:

CRITERIAL FOR FACULTY EVALUATION

COLLEGE OF EDUCATION

UNIVERSITY OF HOUSTON

TEACHING

Proficient

Exhibits leadership in developing and implementing instructional procedures that are consistent with the College-departmental thrust and are known to be effective.

Researches his teaching efforts in order to evaluate this effectiveness.

Consistently recognized as an outstanding teacher by his students and peers.

Creatively utilizes the most current knowledge in his field in his teaching.

Utilizes teaching strategies that employ a wide variety of instructional materials and activities.

Provides effective leadership as a member of an instructional team.

Competent

Develops and implements instructional procedures and materials that are consistent with the College-departmental thrust.

Solicits and uses student and peer feed-back as a means of improving his effectiveness.

Generally receives good student and peer ratings of his teaching.

Demonstrates an up-to-date knowledge of his field and applies it to his teaching.

Utilizes teaching strategies that employ some variety of instructional materials and activities.

Serves as an effective member of an instructional team.

Incompetent

Continues to use instructional procedures that are not in keeping with the College-departmental thrust.

Rarely seeks feed-back on his instructional procedures from students or peers.

Demonstrates little or no knowledge of current thinking in his field in his teaching.

Uses little or no variety in class presentations.

Serves ineffectively as a member of an instructional team.

CURRICULUM/INSTRUCTION DEVELOPMENT

Proficient

Contributes to the curriculum conceptualization and development for the College/departmental program.

Uses research to improve curriculum design and materials.

Receives national recognition for curriculum/instruction developmental efforts.

Serves as leader of an instructional team that produces creative instructional materials and procedures.

Provides leadership to insure that these creative materials are implemented in the regular curriculum of the College/department.

Competent

Develops curriculum materials that are used in the College.

Conceptualizes and designs his teaching area(s) consistent with the curriculum design of the College/departmental program.

Uses research to improve his curriculum materials.

Receives regional or local recognition for curriculum/instruction developmental efforts.

Serves as a contributing member of a team that produces creative instructional materials and procedures.

Incompetent

Uses repeatedly curriculum materials without researching their present relevance and effectiveness.

Receives little or no recognition for curriculum/instruction developmental efforts.

Does not productively serve as a member of a curriculum/instruction development team.

Makes little effort to plan, collaborate with, or share materials with his colleagues.

PROFESSIONAL WRITINGS AND SPEECHES

Proficient

Publishes extensively in refereed and/or nationally distributed journals.

Presents papers or speaks at professional meetings--at the local, regional and national levels.

Writes papers that are distributed nationally through the ERIC system.

Writes or edits books and monographs that are distributed nationally.

Reviews books and articles for professional journals.

Competent

Publishes some articles in nationally distributed journals, as well as local and state journals.

Speaks to professional organizations at the state and local levels.

Develops instructional modules that are used extensively in the College.

Reviews, occasionally, books and articles in professional journals.

Demonstrates a continuing interest in and ability to publish.

Incompatent

Publishes few or no articles in professional journals.

Makes few or no speeches at professional meetings.

RESEARCH AND DEVELOPMENT

Proficient

Develops research proposals and functions as principal investigator for research grants funded by federal, private, or state agencies.

Succeeds in publishing the results of his research in refereed and/or nationally distributed professional journals, or presenting his research results to national organizations.

Succeeds in producing doctoral graduates whose dissertations derived from his research activities.

Performs research and development that is nationally recognized for its quality.

Produces research that contributes to the achievement of the College's goals.

Assists in staff development by including other faculty members in his R & D efforts.

Competent

Participates as a member in team research and development efforts.

Applies research efforts of others to develop materials useful to the College's thrust.

Produces advisees whose dissertations reflect competent research.

Produces original research that is disseminated nationally or at the state level.

Incompetent

Declines to participate or is not chosen to participate in College R&D efforts.

Performs little or no original research since his dissertation.

Produces few or no doctoral advisees who have completed their dissertations.

Does not use research produced by others to develop materials useful for instruction or other College activities.

PROFESSIONAL SERVICE

Proficient

Provides leadership in both departmental and College functions that supports the overall College objectives and thrust.

Holds positions of professional leadership and responsibility beyond the local level and gives evidence of significant contribution.

Gives evidence of significant leadership on university committees and projects.

Provides leadership regarding the identification and solution of community problems.

Gives evidence of a balance between departmental/college/university service and related outside service.

Competent

Contributes to both departmental and College functions that support the overall college objectives and thrust.

Holds position of professional leadership at the local level.

Serves on and contributes to university committees and projects.

Contributes to the identification and solution of community problems.

Incompetent

Makes few or no service contributions to departmental/college/university functions.

Provides little or no professional leadership or service at the local, state, or national level.

Exhibits little or no evidence of involvement in community service activities.